

ORIGINAL



0000021856

BEFORE THE ARIZONA CORPORATION COMMISSION

RECEIVED

2509

JEFF HATCH-MILLER Chairman
WILLIAM A. MUNDELL
MARC SPITZER
MIKE GLEASON
KRISTIN K. MAYES

2005 JUN 28 A 10:49

AZ CORP COMMISSION
DOCUMENT CONTROL

IN THE MATTER OF:

DOCKET NO. S-03587A-05-0000

DAVID JOHN PALEN, CRD #2321162
11557 North 120th Street
Scottsdale, AZ 85259-3239

Respondent.

PROCEDURAL ORDER

BY THE COMMISSION:

On May 24, 2005, the Securities Division ("Division") of the Arizona Corporation Commission ("Commission") filed a Notice of Opportunity for Hearing ("Notice") against David John Palen ("Respondent") in which the Division alleged multiple violations of the Arizona Securities Act ("Act") and Arizona Investment Management Act ("IM Act") in connection with his employment as a registered securities salesman while operating as a financial advisor.

Respondent was served with a copy of the Notice.

On June 6, 2005, Respondent filed a request for hearing and an Answer generally denying the allegations in the Notice.

On June 7, 2005, by Procedural Order, a pre-hearing conference was scheduled for July 6, 2005.

On June 27, 2005, the parties filed a request to continue the pre-hearing conference while they attempt to settle this proceeding.

Accordingly, the pre-hearing conference should be continued as requested.

Arizona Corporation Commission

DOCKETED

JUN 28 2005

DOCKETED BY

VS

1 IT IS THEREFORE ORDERED that the **pre-hearing conference** scheduled on July 6, 2005,
2 at 9:30 a.m., shall be continued to **July 21, 2005 at 2:30 p.m.**, at the Commission's offices, 1200
3 West Washington Street, Phoenix, Arizona.

4 Dated this 28th day of June, 2005


5
6
7 
8 MARC E. STERN
ADMINISTRATIVE LAW JUDGE

9 Copies of the foregoing mailed/delivered
10 this 28 day of June, 2005 to:

11 James P. Kneller
12 9509 E. First Street
13 Scottsdale, AZ 85251
14 Attorney for Respondent

15 Matt Neubert, Director
16 Securities Division
17 ARIZONA CORPORATION COMMISSION
18 1200 West Washington Street
19 Phoenix, AZ 85007

20 ARIZONA REPORTING SERVICE, INC.
21 2627 N. Third Street, Ste. Three
22 Phoenix, Arizona 85004-1104

23 By: 
24 Molly Johnson
25 Secretary to Marc E. Stern
26
27
28